EXHIBIT A

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· · · · · · · · · · · · · · · · · · ·	409/847,390	05/02/2001	Ming C. Hao	10003407-1	6484
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	P.O. Box 2724		INCOCIACO	ART UNIT	PAPER NUMBER
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		•	SAIL OF EDUT	DATE MAILED: 12/30/2003	
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Please find below and/or attached an Office communication concerning this application or proceeding.

US ACTION	
DUE DATE	
Paper Dated	
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	2001		Applica	tion No.	Applicant(s)	
,	2004		09/847	390	HAO ET AL	
`		Office Action Summary	Examin	er	Art Unit	I
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Αď	EMARKS Period fo	- The MAILING DATE of this communic	ation appears on t	he cover sheet with	the correspondence as	dress –
	A SH THE - Extra - If the - If NO - Failt - Any	ORTENED STATUTORY PERIOD FO MAILING DATE OF THIS COMMUNIC release of time may be available under the provisions of SX (6) MONTHS from the mailing date of this communication for reply aspectified above is less than thirty (30) is period for reply aspectified above, the maximum stature to reply within the set or extended period for reply we apply within the set or extended period for reply we apply received by the Office later than three months after displacements and patent term adjustment. See 37 CFR 1.704(b).	ATION. 137 CFR 1.136(a). In no nicetion. 6ays, a reply within the starty period will apply and III, by starty, course the a	event, however, may a reply authory minimum of thirty (3 will expire SDX (6) MONTH solication to become ARAN	y be timely filed IJ) days will be considered time for from the mailing date of this of DONED, U.S.C. E. 1330	ly. communication.
	1)[🛛	Responsive to communication(s) filed	on <u>24 October 20</u>	03.	•	
١	2a)🛛	This action is FINAL. 2b)□ This action is	non-final.		
	3)[Since this application is in condition for closed in accordance with the practice	or allowance exce e under Ex parte (ot for formal matters Juayle, 1935 C.D. 1	1, 453 O.G. 213.	
	Disposit	on of Claims			RECI	EIVED
	4)⊠	Claim(s) 1-33 is/are pending in the ap	plication.			EIVED
		4a) Of the above claim(s) is/are	withdrawn from c	onsideration.	OCT 25	2004
	•	Claim(s) is/are allowed.				
		Claim(s) 1-33 is/are rejected.			OFFICE OF PE	:TITIONS
	7)□ B)□	Claim(s) is/are objected to.				
	•—	Claim(s) are subject to restriction on Papers	on and/or election	requirement.		
١		The specification is objected to by the	Evamina-			
١		The drawing(s) filed on is/are: a		objected to by	tha Evaminar	
	••,=	Applicant may not request that any objecti		· •		
		Replacement drawing sheet(s) including the		•	* *	FR 1.121(d).
	11)[The oath or declaration is objected to t			=	• •
	Priority u	nder 35 U.S.C. §§ 119 and 120				
	a) [Acknowledgment is made of a claim for All b) Some c) None of: 1. Certified copies of the priority do 2. Certified copies of the priority do 3. Copies of the certified copies of application from the International	ocuments have be ocuments have be the priority docum al Bureau (PCT Ru	en received. en received in Appl ents have been red le 17.2(a)).	lication No Deived in this National	Stage
	13)∐ A și 3; a	ee the attached detailed Office action of cknowledgment is made of a claim for nee a specific reference was included it? CFR 1.78. The translation of the foreign language.	domestic priority in the first sentend uage provisional a	inder 35 U.S.C. § 1 e of the specification pplication has been	19(e) (to a provisiona on or in an Application or received.	Data Sheet.
	14)[] A re	cknowledgment is made of a claim for ference was included in the first senter	domestic priority (nce of the specific	inder 35 U.S.C. §§ ation or in an Applic	120 and/or 121 since ation Data Sheet. 37	a specific CFR 1.78,
	Attachment	(s)			•	
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Art Unit: 2177

Page 2

DETAILED ACTION

Response to Amendment

- 1. Examiner acknowledges applicant's amendment filed on 10/24/2003, paper no.6.
- 2. Claims 21-33 have been added, paper no.# 6.
- 3. Claims 1-33 are pending in this application.

Drawings

Examiner acknowledges applicant's drawings 3 and 6. 4.

OFFICE OF PETITIONS

Information Disclosure Statement

5. The information disclosure statement (IDS) filed on 10/24/2003, paper no. # 5 has been considered by the examiner, however, it is noted that one of the reference: 1S A.S. Glasner, "principles of digital Imaging Synthesis", Morgan Kaufmann Publishers, San Fransisco, 1995, is not received, applicant is hereby required to submit this reference for further consideration in response to this office action, paper no. #7. A copy of PTO-1449 is hereby enclosed to this office action.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

Page 3

Application/Control Number: 09/847,390

Art Unit: 2177

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

- 6. Claims 1-14,16,19-20 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gunjan K Gupta et al., [hereafter Gupta], Detecting seasonal trends and cluster motion visualization for very high dimensional transactional data, proceedings of first international SIAM conference on Data Mining (SDM01), April, 2001, pp 1-18, in view of Agrawal et al., [hereafter Agrawal], US Patent No. 5794209.
- 7. As to Claim 1, 11, 13, 21,24, Gupta teaches a system which including 'visualizing information' [see Abstract], 'receiving information having plurality of items' [page 2, line 33-36], plurality of items corresponds to data set having 10,000 or more products as detailed in page 2, line 33-35, 'generating a graph of the items by arranging the items on a spherical surface to specify an initial position of each item' [page 11, item 5.2, fig 4a-4b], Gupta specifically directed to generating three dimensional graph with respect to data clusters as detailed in fig 4a-4b, 'constructing a frequency matrix for

Art Unit: 2177

Page 4

defining a stiffness measure of a spring attached to each pair of items' [pag 11, item 5.2, page 13, line 1-14, table 2], Gupta specifically suggests for example type of cluster, closet cluster and time frequency for specific customer between two different time limits that corresponds to frequency matrix; 'relaxing the graph, wherein after relaxation the graph converges to a state of local minimal energy, wherein the distance between a pair of items represents the frequency of the item set in the transaction data' [page 14, fig 7-8], 'association directions between the items in the transaction data' [page 10, line 5-36]. It is however, noted that Gupta does not specifically teach' employing a directed edge to represent the association confidence levels'. On the other hand, Agrawal disclosed 'employing a directed edge to represent the association confidence levels' [col 3, line 53-62], Agrawal specifically directed to user-defined minimum support confidence level with respect to large item sets and subsets as detailed in col 3, line 53-62.

It would have been obvious to one of the ordinary skill in the art at the time of applicant's invention to incorporate Agrawal et al., into detecting seasonal trends and cluster motion visualization for very high dimensional transactional data of Gupta et al., because both are directed to knowledge discovery with respect to user or customer transactions or purchasing, more specifically Gupta is directed to transactional data particularly e-commerce business data presented in a visualization schemes [see Abstract], while Agrawal et al., is directed to quickly mining association rules in databases, more specifically, discovering consumer purchasing tendencies that

Art Unit: 2177

Page 5

specifically identifies customer transaction item sets that are stored in a database [see Abstract]. One of the ordinary skill in the art the time of applicant's invention to combine the references because that would have allowed uses of Gupta to implement computer program product that selects specific subsets of itemsets and satisfies the minimum confidence criteria defined by the user, further satisfies rules associated the discovering trends between item set recurrence at least equals user-defined confidence as suggested by Agrawal et al., [see Abstract, col 3, line 45-62], thus improving accuracy and performance of data analysis.

- 8. As to claim 2, 14, Agrawal disclosed 'generating a confidence matrix for defining the confidence level of each association' [col 4, line 15-25].
- 9. As to Claim 3, 26, Agrawal disclosed 'receiving a user-defined minimum confidence level' [col 3, line 54-62], 'displaying items having an association with a confidence level that is in a predetermined relationship with the user-defined minimum confidence level' [fig 2, col 6, line 5-18].
- 10. As to Claim 4, 27, Agrawal disclosed 'receiving a plurality of items' [col 6, line 6-7], 'receiving internet transaction data' [col 5, line 48-51, line 53-61], 'transactions, products, transactions' [col 7, line 25-40].

Page 6

Art Unit: 2177

- As to Claim 5, 12, 28, Agrawal disclosed 'plurality of transactions, where ach 11. transaction includes one or more items' [col 7, line 41-45]. On the other hand, Gupta disclosed 'generating a graph of the items by arranging the items on a spherical surface to specify an initial position of each item, organizing the Itmes based on how frequently the items appear in transactions' [page 8, item 4.2], 'specifying the initial position of each item in one of a random fashion and a predetermined fashion' [page 10, line 5-37].
- As to Claim 6, 29, the limitation of this daim have been noted in the rejection of 12. above claim 5. In addition, Gupta disclosed 'distributing the items equally on a spherical surface, wherein tightness is a sum of all supports from a current item to directly adjacent items, and wherein more tightly related items are disposed in the center of the sphere and the less tightly related items are evenly distributed around the center' [page 11, item 5.2, fig 4a-4b].
- 13. As to Claim 7, 30, the limitation of this claim have been noted in the rejection of above claim 6. In addition, Gupta and Agrawal both teach statistical analysis of large data sets [see Gupta: Abstract; Agrawal: Abstract], Gupta also teaches 'distributing the items equally on a spherical surface [see fig 4a-4b]. It is however noted that sampling of data sets are integral part of both Gupta and Agrawal's teaching because they are directed to sampling of data sets. It is noted that sampling is based on stochastic sampling, more specifically based on Poisson distribution is common knowledge in the art, further Poisson disc sampling is based on Poisson distribution with minimum-

Art Unit: 2177

Page 7

distance constraint between samples either added or removed points at random to any previous points.

- 14. As to Claim 8, 31, Gupta disclosed 'frequency matrix includes a plurality of elements, wherein each element includes the frequency of occurrence of the association in all transactions after normalization' [fig 4, page 11, item 5.2], Gupta specifically directed to position matrix that specifically indicate at least trends discovered using visualization.
- 15. As to Claim 9-10, 32-33, the limitation of this claim has been noted in the above claim 8. In addition, Gupta disclosed 'three-dimensional sphere wherein the distance between each pair of items represents the support therebetween' [see fig 4].
- 16. As to Claim 16, Gupta disclosed 'market basket analysis application' [see Abstract].
- 17. As to Claim 19-20, Agrawal disclosed 'text mining application' [see Abstract, fig 1]

Page 8

Application/Control Number: 09/847,390

Art Unit: 2177

- 18. Claims 15,17-18 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gunjan K Gupta et al., [hereafter Gupta], Detecting seasonal trends and cluster motion visualization for very high dimensional transactional data, proceedings of first international SIAM conference on Data Mining (SDM01), April, 2001, pp 1-18, Agrawal et al., [hereafter Agrawal], US Patent No. 5794209 as applied to Claim 1,11 above, further in view of Ratnavale et al., [hereafter Ratnavale], WO 01/08072A1
- 19. As to Claim15, Gupta disclosed 'visually associate product affinities and relationships' [see fig 4-6], while Agrawal teaches large itemsets related to transaction data [see Abstract], however, it is noted that both Gupta and Agrawal do not specifically teach 'electronic commerce web site, products for sale'. On the other hand Ratnavale disclosed 'electronic commerce web site, products for sale' [see Abstract, fig 6-7].

It would have been obvious to one of the ordinary skill in the art at the time of applicant's invention to incorporate teaching of Ratnavale into detecting seasonal trends and cluster motion visualization for very high dimensional transactional data of Gupta et al., and quickly mining association rules in databases of Agrawal et al., because that would have allowed users of Gupta, Agrawal to access interactive market system via world wide web or internet based product sales and services of Ratnavale [see Abstract, fig 1], further bringing the advantages of multiple buyers, vendors to customize the market to meet their individual needs in real-time via Internet as suggested by Ratnavale [page 3, line 12-16].

Art Unit: 2177

Page 9

- 20. As to Claim 17-18, Ratnavale disclosed 'telecommunications, network traffic analysis application [page 7, line 20-28, fig 1].
- 21. Claims 1,11 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gunjan K Gupta et al., [hereafter Gupta], Detecting seasonal trends and cluster motion visualization for very high dimensional transactional data, proceedings of first international SIAM conference on Data Mining (SDM01), April, 2001, pp 1-18, in view of Mohammed Javeed Zaki et al., [hereafter Zaki], Evaluation of sampling for data mining of association rules, 7th Wkshp.Resrch.lss.Data Engg, 1996, pp1-9
- 22. As to Claim 1, 11, Gupta teaches a system which including 'visualizing information' [see Abstract], 'receiving information having plurality of items' [page 2, line 33-36], plurality of items corresponds to data set having 10,000 or more products as detailed in page 2, line 33-35, 'generating a graph of the items by arranging the items on a spherical surface to specify an initial position of each item' [page 11, item 5.2, fig 4a-4b], Gupta specifically directed to generating three dimensional graph with respect to data clusters as detailed in fig 4a-4b, 'constructing a frequency matrix for defining a stiffness measure of a spring attached to each pair of items' [page 11, item 5.2, page 13, line 1-14], 'relaxing the graph, wherein after relaxation the graph converges to a state of local minimal energy, wherein the distance between a pair of items represents the frequency of the item set in the transaction data' [page 14, fig 7-8], 'association directions between the items in the transaction data' [page 10, line 5-36].

Art Unit: 2177

Page 10

It is however, noted that Gupta does not specifically teach' employing a directed edge to represent the association confidence levels'. On the other hand, Zaki disclosed 'employing a directed edge to represent the association confidence levels' [page 6, col 1, item 4.4, col 2, fig 5].

It would have been obvious to one of the ordinary skill in the art at the time of applicant's invention to incorporate Zaki et al., into detecting seasonal trends and cluster motion visualization for very high dimensional transactional data of Gupta et al., because both are directed to data analysis, more specifically Gupta is directed to transactional data particularly e-commerce business data presented in a visualization schemes [see Abstract], while Zaki et al., is directed to Evaluation of sampling for data mining of association rules, more specifically, sampling, analyzing large volumes of transactional business data using association rules [see Abstract]. One of the ordinary skill in the art the time of applicant's invention to combine the references because that would have allowed uses of Gupta to effectively sampling the various transactional related data, more specifically sampling item set size and large item sets for stabling accuracy measurements, further establishing confidence levels between various sampling data sets as suggested by Zaki et al., [see page 2, col 2, sampling algorithm, fig 2, page 6, col 1, item 4.4], thus improving accuracy and performance of data analysis.

Art Unit: 2177

Page 11

Response to Arguments

- 23. Applicant's arguments filed on 10/24/2003 with respective to Claims 1-33 have been fully considered but they are not persuasive, for earniners' response, see discussion below:
- a) At page 9, Claims 1-14,16,19-20, applicant argues obviousness is not established.

At page 10, Claims 1-14,16,19-20, applicant argues office action does not provide sufficient evidence of a motivation.......

At page 11, Claims 1-14,16,19-20, applicant argues the alleged motivation is merely a broad conclusory statement......

In response to applicant's above argument that there is no suggestion to combine the references, the examiner recognizes that obviousness can only be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988)and *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992). In this case, Primary reference Gupta et al., is directed to detecting seasonal trends and cluster motion visualization for very high dimensional transactional data, more specifically, related to e-commerce business where predetecting, analyzing, buying behaviors, market

Art Unit: 2177

Page 12

segmentation are taken into consideration for market vs customer migration as detailed in Abstract, further Gupta also specifically suggests for example visualzing information that generates graph as shown in fig 1-2,4, especially fig 4 is directed to 3-D plot for visualizing information. Examiner also noted in the office action that Gupta does not specifically suggest employing a directed edge to represent the association confidence levels'. On the other hand, Agrawal disclosed 'employing a directed edge to represent the association confidence levels' [col 3, line 53-62], Agrawal specifically directed to user-defined minimum support confidence level with respect to large item sets and subsets as detailed in col 3, line 53-62.

It would have been obvious to one of the ordinary skill in the art at the time of applicant's invention to incorporate Agrawal et al., into detecting seasonal trends and cluster motion visualization for very high dimensional transactional data of Gupta et al., because both are directed to knowledge discovery with respect to user or customer transactions or purchasing, more specifically Gupta is directed to transactional data particularly e-commerce business data presented in a visualization schemes [see Abstract], while Agrawal et al., is directed to quickly mining association rules in databases, more specifically, discovering consumer purchasing tendencies that specifically identifies customer transaction item sets that are stored in a database [see Abstract]. One of the ordinary skill in the art the time of applicant's invention to combine the references because that would have allowed uses of Gupta to implement computer program product that selects specific subsets of itemsets and satisfies the

Page 13

Application/Control Number: 09/847,390

Art Unit: 2177

minimum confidence criteria defined by the user, further satisfies rules associated the discovering trends between item set recurrence at least equals user-defined confidence as suggested by Agrawal et al., [see Abstract, col 3, line 45-62], thus improving accuracy and performance of data analysis.

At page 9, Claim 1, applicant argues, daim 1 includes limitations that relate to b) generating a graph of transaction items by arrangingspherical surface to specify.....

As to the above argument, examiner specifically rejected this limitation as Gupta suggests arranging items for on a spherical surface for example 3-D visualization arranging various cluster space data related to customer migration as detailed in fig 4.

At page 10, Claim 1, applicant argues Gupta's teachings do not in any apparent C) way teach the stiffness measure.....

As to the above argument, as best understood by the examiner, Gupta specifically suggests for example type of cluster, closet cluster and time frequency for specific customer between two different time limits that corresponds to frequency matrix, further Gupta also suggests for example two sets of clusters are that defining peak-session, off-peak session that establishes stiffness measure of items, therefore, stiffness measure of items are integral part of Gupta's teaching.

Art Unit: 2177

Page 14

d) At page 11, Claim 2, applicant argues Agrawal does not appear to suggest a matrix of the confidence level.....

As to the above argument, as best understood by the examiner Agrawal is directed to discovering consumer purchasing tendencies [see Abstract], Agrawal also teaches discovering association rules in itemsets that are related to transaction database [see col 2, line 46-57], further it is noted that Agrawal suggests for example confidence value of associated itemsets for minimum support value as detailed in col 4, line 5-23. As best understood by the examiner the confidence level is the probability value associated with a confidence Interval that determines based on predetermined minimum confidence value, therefore, matrix of the confidence levels are integral part of Agrawal's teaching.

Examiner applies Claim 2 arguments discussed above applies to Claim 3.

e) At page 12, Claims 5-7, applicant argues, employing a Poission Disc sampling......is not believed to be well known....

As to the above argument, As best understood by the Examiner, both Gupta, Agrawal do teach statistical analysis of large data sets [see Gupta: Abstract; Agrwal: Abstract], further analyzing large data sets in a distributed items using sampling is

Art Unit: 2177

Page 15

common knowledge in the art, further concept of sampling such as Stochastic sampling is also common knowledge in the art, while Poission Disc sampling is simply applied where minimum distance between samples are required for further analysis.

As to Claims 8-10,12-13,16,19-20 examiner applies above discussed reasons.

f) At page 13, Claim 15,17-18, applicant argues no teaching or suggestion appars relevant to directedconfidence levels.

As to the above argument, as best understood by the examiner Zaki is directed to sampling of data mining of association rules, more specifically random sampling of transactions in the database [see Abstract, page 1, col 2], it is also noted that Zaki specifically suggests for example sampling algorithm applied to vary large sample sizes, determining or setting specific confidence levels to various large sample sizes are integral part of Zaki's teaching because confidence level is the probability value associated with a confidence interval that determines based on predetermined minimum confidence value.

Art Unit: 2177

Page 16

Conclusi n

The prior art made of record

- a. Gunjan K Gupta et al., Detecting seasonal trends and cluster motion visualization for very high dimensional transactional data, proceedings of first international SIAM conference on Data Mining (SDM01), April, 2001, pp 1-18
- b. Mohammed Javeed Zaki et al., Evaluation of sampling for data mining of association rules, 7th Wkshp.Resrch.Iss.Data Engg, 1996, pp1-9
 - c. US Patent No. 5794209
 - d. WO 01/08072A1

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure

e.	US Patent No.	6141006
f.	US Patent No.	6225998
g.	US Patent No.	6157705
h.	US Patent No.	6292784
i.	US Patent No.	6334110
j.	US Patent No.	2002/0087679
k.	WO 01/80098	
l.	EP0610581A2	
m.	EP1077413A2	

Art Unit: 2177

Page 17

n. Paulo B et al., Mining web access logs of an On-line

newspaper, pp1-8

o. Mihael A, Visual data mining with Pixel-oriented

visualization techniques, pp1-8

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

P.19

Application/Control Number: 09/847,390

Art Unit: 2177

Page 18

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Srirama Channavajjala whose telephone number is (703) 308-8538. The examiner can normally be reached on Monday-Friday from 8:00 AM to 5:30 PM Eastern Time. The TC2100's Customer Service number is (703)306-5631.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John E. Breene, can be reached on (703) 305-9790. The fax phone numbers for the organization where the application or proceeding is assigned are as follows:

703/746-7238

(After Final Communication)

703/872-9306

(Offical Communications)

703/746-7240

(For Status Inquiries, draft communication)

Any inquiry of general nature or relating to the status of this application or proceeding should be directed to the Group receptionist whose telephone number is (703) 305-9600.

sc |///
Patent Examiner.
December 29, 2003.

PATENT APPLICATION

Sheet 1 of 1

FOR	M PTO-1449		ATTY. DOCKET N	J. C (1.0.1).	ONFIRMATION
LIST	OF PATENTS AND	PLIBLICATIONS FOR	10003407-1	09/847,390	
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